

**VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(d))-NONPROFIT ORGANIZATION****DOCKET NUMBER: BU94-15A2**Applicant or Patentee: Barbara A. Gilchrist, Mina Yavar, Mark PillerSerial or Patent No.: 09/018 194Filed or Issued: February 4, 1998Title: Methods of Inducing Hair Growth and Coloration

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION Trustees of Boston UniversityADDRESS OF NONPROFIT ORGANIZATION 147 Bay State RoadBoston, Massachusetts 02215**TYPE OF NONPROFIT ORGANIZATION:**

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION  
☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)  
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3)) IF  
LOCATED IN THE UNITED STATES OF AMERICA  
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED  
STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- ☐ the specification filed herewith with title as listed above.  
☒ the application identified above.  
☐ the patent identified above.

I hereby declare the rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization having any rights in the invention is listed below:

- ☒ no such person, concern, or organization exists.  
☐ each such person, concern or organization is listed below.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Matthew J. BurnsTITLE IN ORGANIZATION OF PERSON SIGNING Assistant TreasurerADDRESS OF PERSON SIGNING 147 Bay State Road, Boston, Massachusetts 02215SIGNATURE Matthew J. BurnsDATE 29 June 1998MATTHEW J. BURNS  
ASSISTANT TREASURER  
BOSTON UNIVERSITY

DMH/SAB/hbh

June 29, 1998

PATENT APPLICATION

Docket No.: BU94-15A2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Barbara A. Gilchrest, Mina Yaar, Mark Eller  
 Application No.: 09/018,194 Group: 1614  
 Filed: February 4, 1998 Examiner: Not assigned  
 For: Methods of Inducing Hair Growth and Coloration

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231	
on <u>6-29-98</u>	<u>Heather B. Hill</u>
Date	Signature
<u>HEATHER B. HILL</u>	
Typed or printed name of person signing certificate	

REPLY TO NOTICE TO FILE MISSING PARTS OF APPLICATION

Box Missing Parts  
 Assistant Commissioner for Patents  
 Washington, D.C. 20231

Sir:

In reply to the Notice of Missing Parts dated April 27, 1998, the following documents and fees are being submitted for filing in the captioned application:

- ☒ **EXECUTED DECLARATION/POWER OF ATTORNEY** - A copy of the Notice is attached.
- ☒ **FILING FEE** - with Fee Transmittal for Patent Applications in duplicate.
- ☒ **SURCHARGE** - surcharge fee of \$65.00.
- ☒ **SEQUENCE LISTING** - Filed concurrently and is attached.

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09/018,194

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☐ **PETITION FOR EXTENSION OF TIME** - A [ ] month extension of time to respond to the Notice to File Missing Parts is requested. A petition for the extension and appropriate fee (\$[ ]) are being filed concurrently.

☐ **REQUEST FOR CORRECTED FILING RECEIPT** - Filed concurrently and is attached.

☒ **VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS**

☐ Was filed on [ ] .

☒ Is being filed concurrently.

☐ In view of the small entity status of the captioned application, we hereby request a reimbursement of 50% of the filing fees in the amount of \$[ ] which were paid on [ ] to be deposited in Attorney's Deposit Account No. 08-0380.

The fees required for filing the indicated documents are enclosed in the form of a check in the total amount of \$1,181. Authorization is hereby granted to charge any additional fees due to Attorney's Deposit Account No. 08-0380. A copy of this letter is enclosed for accounting purposes.

Respectfully submitted,

Doreen M. Hogle  
Doreen M. Hogle  
Registration No.: 36,361  
Tel.: (781) 861-6240  
Fax: (781) 861-9540

Lexington, MA 02173

Date:

June 29, 1998

# HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

## FEE TRANSMITTAL FOR PATENT APPLICATIONS

Attorney Docket Number BU94-15A2  
Application Number 09/018,194  
First Named Inventor Gilchrest, Barbara A.

CLAIM CALCULATION (includes any preliminary amendment)

CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
TOTAL CLAIMS (37 CFR 1.16(c) or (j))	52	- 20* =	32	x \$ 22 =	\$ 704
INDEPENDENT CLAIMS (37 CFR 1.16(b) or (ii))	12	- 3** =	9	x \$ 82 =	\$ 738
MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d))				+ \$ 270 =	\$
				BASIC FEE (37 CFR 1.16(a))	\$ 790
				Total of above Calculations =	\$2,232.00
				Reduction by 50% for filing by small entity (37 CFR 1.9, 1.27, 1.28) =	\$1,116.00
				TOTAL =	\$1,116.00
				Surcharge - Late Filing of Declaration or Filing Fees (37 C.F.R. 1.16(e)) =	\$ 65.00
				Petition for Extension of Time Fee (37 C.F.R. 1.17) =	\$
				Assignment Recordation Fee = (only when filed with application)	\$
				TOTAL =	\$1,181.00

\* Reissue claims in excess of 20 and over original patent.  
\*\* Reissue independent claims over original patent

1. Small entity status:

- a. ☐ A small entity statement is enclosed.
- b. ☐ A small entity statement was filed in the prior non-provisional application and such status is still proper and desired.
- c. ☐ Is no longer claimed.

2. ☒ A general authorization is hereby granted to charge deposit account number 08-0380 for any fees required under 37 CFR 1.16 and 1.17 in order to maintain pendency of this application. A copy of this authorization is enclosed for accounting purposes.

3. ☒ A check is enclosed for \$ 1,181.00 ☐ Please charge \$ \_\_\_\_\_ to Deposit Account No. 08-0380.

4. ☐ Other: \_\_\_\_\_

Signature

*Doreen M. Hogle*

Date

*June 29, 1998*

Submitted by  
Typed or Printed Name

Doreen M. Hogle

Reg. Number

*36,361*

[illegible]

DATE MAILED:

64. 27/96

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
*Filing Date Granted*

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small entity (statement filed) ☒ non-small entity is \$ 0.00.

- Small Entity Statement**

☒ 1. The statutory basic filing fee is:

  - ☐ missing.
  - ☐ insufficient.

Applicant must submit \$ 100 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☒ 2. Additional claim fees of \$ 11112, including any multiple dependent claim fees, are required.

  - \$ 888 for 1 independent claims over 3.
  - \$ 1111 for 32 dependent claims over 20.
  - \$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

  - ☒ is missing or unexecuted.
  - ☐ does not cover the newly submitted items.
  - ☐ does not identify the application to which it applies.
  - ☐ does not include the city and state or foreign country of applicant's residence.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.  
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:  
\_\_\_\_\_  
An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application does not comply with the Sequence Rules.  
See attached "Notice to Comply with Sequence Rules 37 CFR 1.821-1.825."

☐ 9. OTHER:

☐ 9. OTHER: \_\_\_\_\_  
Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

RECEIVED  
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02 FC:201  
03 FC:202  
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